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ABSTRACT

This document explains and clarifies the management by objectives (MBO) concept in order to give institutions in the Advanced Institutional Development Program (AIDP) help in understanding and using the concept. MBO is defined as an administrative system whereby an administrator and his subordinates identify areas of responsibility in which a person will work, set standards for performance in quantifiable terms and measure the results against these standards within a specific time frame, all within the context of the mission, goals, and objectives of the organization. Subsequent sections of this publication discuss the advantages and disadvantages of MBO; implementation of MBO in the college/university setting; alternative MBO models; reasons why MBO may fail in the educational setting; procedures for establishing institutional mission, goals, and objectives; and procedures for establishing individual objectives within the institution. Definitions, flow charts, and examples are included throughout. It is noted that MBO may take many shapes and forms that may be modified to meet the specific needs of individual institutions if the president and staff are willing to make the adjustments necessary for a management system to succeed. An extensive MBO bibliography is included. (JDS)

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Management by Objectives

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AIDP
CONSORTIUM

MANAGEMENT BY OBJECTIVES

BY

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TABLE OF CONTENTS

CHAPTER		PAGE NO.
I.	INTRODUCTION AND DEFINITIONS	I-1
II.	ADVANTAGES AND DISADVANTAGES OF MBO	II-1
III.	IMPLEMENTING MBO	III-1
IV.	DEVELOPING AN MBO MODEL	IV-1
V.	REASONS WHY MBO FAILS	V-1
VI.	SETTING INSTITUTIONAL MISSION GOALS AND OBJECTIVES	VI-1
VII.	SETTING INDIVIDUAL OBJECTIVES	VII-1
VIII.	SUMMARY COMMENTS	VIII-1
IX.	BIBLIOGRAPHY ON MBO	IX-1

CHAPTER I

INTRODUCTION AND DEFINITIONS

I. INTRODUCTION AND DEFINITIONS

This publication is one of a series dealing with topics of interest to colleges which have Advanced Institutional Development Program (AIDP) Grants. A main part of the AIDP grant is to aid the institutions in developing a modern, up-to-date Planning, Management, and Evaluation (PME) system. Publication No. 1, Volume 1 in this series dealt with PME systems and their implementation. This publication has as its purpose the definition and explanation of Management by Objectives (MBO) which, if properly and fully implemented as a system, satisfies the college requirement of having a PME system, since MBO focuses on Planning, Management, and Evaluation and links them together in a system.

MBO is a concept that was developed first in the business area. Peter Drucker, the outstanding management consultant and former professor at New York University, is the one given credit for first using the term MBO. The concept actually was developed just prior to World War II, and grew rapidly as a management system after the war, when rapid expansion in business and industry made the use of a management system almost mandatory.

It is only in the last decade, however, that MBO has been given serious consideration for application in the area of higher education.

Before going on it would be well to clearly define MBO, and to separate the definition of MBO as a "concept" from that of MBO as a "system."

MBO AS A CONCEPT

In the broad sense, MBO as a concept can be simply stated by saying that the concept encompasses three basic elements as follows:

1. *Planning by setting objectives.*
2. *Managing for accomplishment of the objectives.*
3. *Evaluating to determine if the objectives have been set.*

In short setting objectives, carrying them out, and determining whether they have been met is the MBO concept. This is simple, clear, logical and hard to fault as a concept.

The concept is built on the following logical and defensible theory that:

- *The clearer the idea one has of what one is trying to accomplish, the greater the chances are of accomplishing it.*

- *Progress can only be measured in terms of what one is trying to progress towards.*

- *Clear objectives for each program, unit, and individual within an institution provide the basis for establishing concise authority and accountability relationships.*

These elements are, like the MBO concept, difficult to argue against.

MBO AS A SYSTEM

When defining MBO as a system, we get a more concise statement as follows:

- *In its briefest form, MBO is an administrative system whereby an administrator and his subordinates identify areas of responsibility in which a person will work, set some standards for performance in quantifiable terms and measure the results against these standards within a specific time frame all within the context of the mission, goals and objectives of the organization.*

In this sense MBO has some specific elements without which you do not have an MBO system. In short, unless an institution has the following elements it lacks the essential pieces of an MBO system:

- *A clear statement of the goals and objectives of the organization.*

- *A specific program of administrator objectives within a specified time frame (usually twelve months).*

- *A periodic review of progress (usually quarterly).*

- *A final evaluation of the achievement of the objectives for the organization and the individual administrators.*

Many colleges and universities claim they have MBO systems, when in fact, they do not. Many set goals and some set objectives on a broad general institutional basis, but go no further. This does not constitute an MBO system, nor does it fulfill the requirements of a PME system.

One of the problems in higher education in the past has been that what planning we did do was not clearly and precisely linked to the management of the institution, and what evaluation we did was only loosely linked to planning and management. Inherent in the definition of a system is that ***all*** components are linked together. In the definition of MBO, the objectives of administrators must be linked together with the planning and evaluation process, or no system exists. This is where most so-called MBO systems break down.

Essentially then, MBO is:

- *A systematic way of organizing administrative work linked to institutional goals and objectives.*
- *An administrative tool which allows administrators to more effectively plan, organize, direct, control and evaluate their work.*
- *An extension of good logic and reason.*
- *A systems approach to administration which is also directly related to the Planning-Programming-Budgeting System (PPBS) and Instruction by Objectives (IBO).*

To have an effective MBO system, a college or university must routinely and systematically link all of its functions and activities to its purposes and then routinely evaluate its effectiveness feeding such information back into the planning and management processes. This is obviously easier said than done. For a variety of reasons (see Chapter 5), MBO has failed more often than it has succeeded in Education.

Two out of three corporations on the ***Fortune*** magazine list of the 500 largest corporations use MBO in some form. MBO is a successful management concept, and it has been effectively used in business and industry. It has also been effectively used in a few colleges and universities.

Application of MBO as a system, however, is very difficult in Education. Some of the reasons why MBO has failed are:

1. *It is difficult to quantify some of the outcomes in Education.*
2. *Lack of professional management expertise in educational institutions.*
3. *A fear of the type of accountability MBO brings.*

4. *An unwillingness of top administrators to change their management styles.*

5. *Lack of willingness to build rewards and punishment into the management process.*

These plus other factors have caused MBO to fail as often as it has succeeded.

The MBO concept, as was mentioned earlier, is logical and acceptable to all. Taking the concept and building a workable system is, however, very difficult. This is the point at which most institutions fail.

On the other hand, the need for a management system in higher education is all pervasive. With diminishing enrollments, an increasing rate of change, reduced resources, a loss of public confidence in higher education, and the demand for greater accountability, we are required to do far better than we have done in the past. We need a systematic way of carrying out our affairs and MBO is one answer for doing this.

Before going on with a discussion of MBO, it is essential to define some terms. Following is a list of key terms used in this publication. The reader is directed particularly to the definitions of a goal and of an objective. These have special and technical meanings in the MBO setting.

MBO DEFINITIONS

Administration by Objectives (ABO). This constitutes a narrow use of MBO which involves using the system only with the administrators of a college or university. Individual objectives are developed for administrators based on the institutional goals and objectives. A broader based MBO would involve faculty, support staff, and program objectives in addition to the administrator objectives. This narrow use of MBO is easier to implement but seldom impacts on the educational program in a substantial way. Some colleges begin with ABO and broaden into a more fully developed MBO system as time and circumstances permit.

Community Service Objective. This is an objective written to cover an administrator's activities in the community. For example, a college might require that each administrator be involved in a service club, the United Fund, or other community type activity each year. This category of objectives is the least used of the five defined in this section.

Data Base. This is a large bank of detailed data and information which can be accessed to meet many needs.

Data Base (Computerized). This term also includes a large bank of detailed data which can be accessed by other subsystems in a flexible way to meet many needs. It may – or may not – include data stored in random access information storage media. It normally includes carefully constructed formats for the storage of the *proper* data and provisions for the continual updating with current data. For the purposes of this definition, a data base, therefore, may normally be conceived of as being structured by files.

Developmental Goals and Objectives. These constitute a category of organizational or programmatic goals and objectives. Developmental goals or objectives cause growth and bring about change in an organization as opposed to maintenance goals and objectives which preserve the status quo from year-to-year. Developmental goals and objectives tend to focus on innovative or problem-solving tasks which cause organizational growth and development.

Educational Impact Goals and Objectives. These constitute a category of organizational or programmatic goals and objectives that deals with the impact of the educational process upon students. These statements relate to the types of changes or effects colleges hope to have on students and lead to a measurement of the education impact of a college on the student.

Educational Program Goals or Objectives. These constitute a category or organizational or programmatic goals and objectives which deal with such activities as program and course offerings. In contrast with the Education Outcome Goals or Objectives, these goals and objectives deal more with process than with outcome.

Goal. This term derives from the basic mission statement and is a statement of a single purpose which is a hoped-for accomplishment. A goal is broad and somewhat "motherhoodish," and usually is not quantifiable. It is timeless in that it usually has no specific date by which it is to be completed. A goal is a general statement from which specific objectives can be derived.

Innovative Objective. This objective is aimed at developing a new idea or approach to some aspect of an administrator's work. To be classified as innovative, the objective need only be new to the area in which it is applied. It need not be creative in terms of state-wide or national spheres of recognition.

Instruction By Objectives (IBO). This process teaches through the use of clearly stated quantifiable behavioral objectives.

Maintenance Goals or Objectives. These constitute a category of organizational or programmatic goals and objectives which focuses on the routine ongoing functions of an organization. These goals and objectives outline the main functions of an organization or program. They are opposed to developmental goals and objectives which aim at the new, innovative, or problem solving aspects of an organization and bring about organizational change.

Management Information System (MIS). This is an organized method of providing administrators and others in the management process with information needed for decisions, when it is needed, and in a form which aids understanding and stimulates action.

Management By Objectives (MBO). MBO is a system of managing or administering an organization which places the major focus on fulfilling specific objectives and achieving specified results. In this system an organization clearly states its main goals and objectives. From these, each administrator or staff member derives concise quantifiable objectives which they agree to complete usually within a twelve-month time frame. The system focuses on planning, directing, and controlling for specified results. MBO differs from other older management systems in that it stresses objectives and results rather than activities and functions.

Management by Results. This is a synonym for MBO and ABO.

Mission Statement. This broad general statement is usually no more than a paragraph or two long and sets the parameters for an organization and summarizes the basic purposes for which an institution or program exists.

Objective. An objective is a clear, concise, specific statement of one task to be accomplished in quantifiable terms. Objectives derive from mission statements and goals and lead to the accomplishment of these elements. An objective may be short-term (one year or less) or long-term (over a year, usually five or ten years). A good objective is quantifiable so that there can be no question whether or not it has been met within the specified time period.

Operational Objectives. This category of institutional goals and objectives focuses on the methods or processes a college will use to carry out its activities. Such goals and objectives will deal with the management process, academic freedom, and other areas that relate to how an institution will function.

Outcome Measure. In the educational environment, this is a quantifiable measurement of the results or impact of an educational institution or one of its programs. It is a product of one or more of the educational processes. Outcome measures are designed to identify and collect information needed to determine institutional *effectiveness.*

Participative Management. This management process emphasizes the democratic involvement of all people in the management system in the decision-making and policy formulation processes. It is humanistic in nature and is the opposite of an autocratic-dictatorial system. MBO, to be effective in Education, must use the democratic approach and be participative in nature.

PME System (Planning, Management, and Evaluation System). This is a term often used by the Federal Government and the United States Office of Education. A PME System involves a ***systematic*** approach to planning (both long-range and short-term), a systematic approach to management, and a formal evaluation system focusing on planned outcomes. A ***fully developed*** MBO system fulfills the requirements of a PME system when supported by an adequate Management Information System (MIS).

Planning, Programming, Budgeting System (PPBS). This is the development of a budget by functional programs and the allocating of resources according to program objectives. Program budgets are usually made on a one- and five-year basis and should have an evaluation component to determine whether the program objectives are actually accomplished.

Prioritized Objective. In a complete MBO system, once objectives have been developed a priority is attached vis-a-vis other objectives. This aids in end-of-the-year evaluations, assignment of time allotted to completing objectives, and determining which objectives should be deleted if new objectives must be added during the course of the year.

Systems Approach. This is a logical, rational procedure for designing a progression of interrelated components designed to function as a whole in achieving a predetermined objective(s). The methodology includes specification of objectives in measurable terms, development of possible approaches, selection of appropriate means to the achievement of the objectives, integration of approaches into an integrated system, and evaluation of the effectiveness of the system in attaining the objectives. MBO is an example of a system.

Transactional Information System (TIS). A TIS is any set of established procedures for gathering and recalling information for use within the normal day-to-day operations of a major single line office (e.g., the budget office, admissions office, student records office, etc.) within the institution. The operations and functions of a Transactional Information System normally involve low or middle level management people who are concerned primarily with routine operations and daily decision-making processes – all within the perspective of a particular office's sphere of operations. The TIS contrasts with the MIS which synthesizes data from the TIS into reports useful to top management and Boards of Trustees for decision-making and policy formulation.

Program. This is the composition of all work and related supporting activities undertaken to achieve a ***common set*** of end objectives.

Problem Solving Objective. An objective which aims at the solution to a specific problem. In MBO, these objectives change from year to year as problems are successfully dealt with. They may aim at finding the cause of a problem or at applying known solutions.

Professional Development Objective. This objective is aimed at helping to stimulate professional growth in a staff member. As a result of carrying out such an objective, a staff member should be a more knowledgeable and/or more productive member of the administrative team.

Quarterly Review. In the MBO system, periodic reviews are required between a manager and his subordinates. At these reviews (usually on a quarterly basis) objectives are reviewed for progress and validity and an opportunity is provided to delete or modify objectives if changing circumstances so warrant.

Routine Objective. An objective which relates to the routine or regular duties of an administrator. These objectives are generally the same from year to year and derive from the basic job description.

Zero-Based Budgeting. A budget planning process popularized by President Jimmy Carter when he was Governor of Georgia. The process requires that each expenditure be justified each year and that budgeting start each year from a "zero base" rather than using the previous year's budget as a base. Contrary to popular belief, ZBB is a planning system which leads up to the development of a final budget rather than being the budget system itself.

Chapter 2 focuses on the advantages and disadvantages of MBO both for institutions and for the staff members that use the system.

CHAPTER II

ADVANTAGES AND DISADVANTAGES OF MBO

II. ADVANTAGES AND DISADVANTAGES OF MBO

If the MBO concept is properly developed and applied, the following advantages should accrue to the individual administrators (and faculty if they also use it) and to the institution. In addition, there are some disadvantages that need to be recognized and taken into account.

ADVANTAGES

The following advantages should accrue to administrators from proper application of the MBO concept:

- ***Clarified job responsibilities.*** *In many institutions job descriptions are out-of-date and poorly written. Some tasks and areas of responsibility overlap others. Some that need to be delineated and assigned "fall in the cracks" and are not covered. Proper MBO procedures lead to a clear delineation of job areas. Tasks and objectives are specifically assigned and the administrator knows exactly what he is and is not responsible for doing.*

- ***Greater freedom of operation.*** *Because of the greater clarity and specification of job responsibilities and because of the development of quantifiable objectives, subordinate administrators can be given greater freedom of operation. Less supervision is needed because the parameters of their work and the accountability for accomplishing it have been fixed.*

- ***Better communication upward, downward and laterally.*** *MBO builds in a communication system on significant matters. The setting of goals and objectives and the quarterly reviews help to structure meaningful dialog between boss and subordinate as well as those in staff relationships.*

- ***Greater satisfaction in work from observable results.*** *The MBO system provides concrete feedback from the measurement of quantified objectives. This in turn provides the administrator with clear indications of how he is doing. Positive results give a far greater satisfaction from administrative work than is possible under the traditional administrative structure.*

- ***Identification and remediation of weaknesses.*** *The MBO system clearly identifies administrative weaknesses. This may cause some discomfort, but if properly handled, these weaknesses can be remediated and*

administrators can be strengthened. The adage that success springs from failure is applicable here. We strongly urge that institutions using MBO develop a professional development program to remediate and develop the professional staff.

- ***Fairer appraisal and evaluation.*** *MBO allows for a more objective evaluation of administrators than ever before. Those who are really producing can be readily identified and those who should not be in administration can be weeded out. It also allows for the application of a merit pay or bonus system. In short, the individual administrator is dealt with more fairly and objectively than is possible under a traditional system.*

A number of advantages also accrue to the institution from using MBO:

- ***Clarification of the institutional mission and a focusing of resources on appropriate goals.*** *Application of MBO requires that the mission, goals, and objectives be clearly set and that they relate directly to each other. There is less chance that activities within an institution would be inappropriate or superfluous and wasteful. Resources in money, people, facilities and activities are focused on the goals and objectives of highest priority, reducing waste and inefficiency.*

- ***Better basis for setting priorities.*** *When goals and objectives are clearly spelled out they serve as a basis for priority setting. As educational funds become scarce, it is more necessary to be able to identify the highest priorities and allocate the institution's resources accordingly.*

- ***Fairer wage program is possible.*** *As mentioned earlier, a merit or bonus system becomes possible because of the base established through the objective evaluations. The institution no longer has to reward producers and non-producers with the same yearly increases. The motivation of hard-working administrators can be kindled and the resultant efforts rewarded.*

- ***Better morale among the staff.*** *MBO usually leads to better morale because of the increased communication and fairer appraisals, and because all administrators are carrying equal loads (if not, they are identified and dealt with effectively). In addition each one knows what is expected of him.*

- ***Increased communication.*** *As mentioned earlier, there is an increase of communication on significant issues throughout the organization. This*

aids morale and leads to greater understanding, which in turn helps to develop a unified effort at achieving the institution's goals and objectives.

- ***Opportunity for new administrative structures.*** *Because jobs are more clearly defined and accountability more effectively fixed, much of the traditional day-to-day supervision is unnecessary. This in turn makes it possible for an administrator to supervise more subordinates. The old span of control theory that one can properly supervise only four to six people is thrown out. This offers the possibility of developing some new administrative structures that can be more efficient and effective.*

- ***Better planning.*** *MBO builds planning into the operational framework and makes it a part of the ongoing administrative process. The once-a-decade development of a ten- or twenty-year plan which then goes on the shelf to gather dust is supplanted with action-oriented one- and five-year plans which are constantly updated.*

- ***Management by exception rather than by crisis.*** *MBO allows an institution to avoid many crises through proper planning and operation. It also allows administrators to function on their own unless exceptional situations develop. Instead of the crisis administration of many institutions, they can settle back, run more smoothly, and manage by exception.*

- ***Improved administrative efficiency.*** *MBO helps to avoid wasted motion and prevents the staff from engaging in superfluous activity which may be interesting to them, but not valuable to the institution, or focused on meeting institutional goals and objectives. Rewards are given for activity directly related to institutional progress, thereby increasing efficiency.*

- ***Can save money.*** *While this should not be the major reason for adopting MBO in higher education, it can be an important by-product of its installation. The greater efficiency and effectiveness that MBO produces can and should save money for the institution.*

DISADVANTAGES

There are some disadvantages to using MBO:

- ***It is difficult to quantify much of what we do in education.*** *MBO is difficult to use if quantification is complex and hard to do. Measuring*

the "outputs" of education is only now receiving major national research attention. In many areas we are finding quantification difficult. However, we can quantify more than before, and as we build better data bases, MBO will become a more effective technique.

- ***MBO takes time, particularly in getting started.*** *To get into an MBO system an institution must set aside some time to educate the staff, develop the necessary skills, and draw up the mission, goals, and objectives. Most institutions can find the time and in fact probably cannot afford not to. The writer is reminded of the story of the woodcutter who was chopping at his wood with a dull axe. As he was cutting and sweating and not making much progress, a friend came by and asked the woodcutter why he did not stop to sharpen his axe. The woodcutter reponded that he could not because he did not have time. MBO would sharpen the administrative efforts of institutions of higher education if they would take the time to implement it.*

- ***Some arbitrary decisions need to be made.*** *In the quantification of objectives, some arbitrary decisions must be made, particularly the first time around. Until a data base is built and experience with new measures is attained, arbitrary cut-off points are needed. Although this results in frustration for some, we must pass through this stage in order to establish measures which are meaningful.*

- ***MBO can become a giant verbal game and paper shuffling exercise.*** *On the whole, being intelligent, highly verbal, and inclined to use esoteric language, educators can easily distort MBO into a gigantic intellectual exercise producing high-sounding goals and objectives which are unrealistic and unmeasurable. The process can become a paper shuffling exercise with little practical value. The focus of MBO should stay on what it is trying to accomplish stated in clear, concise, quantifiable terms.*

- ***MBO does not control ethics or morals.*** *It is possible for an administrator to achieve his objectives while being unethical or harmful to others in the organization. This needs to be controlled outside the MBO system and can be so done.*

The advantages of MBO far outweigh the disadvantages. In fact, some of the disadvantages can be modified over time and by proper structuring and implementation. The next chapter discusses how to implement MBO and some of the problems that can develop in this area.

CHAPTER III

IMPLEMENTING MBO

III. IMPLEMENTING MBO

MBO is a simple and logical concept, yet implementing it is often a complex process. Many things can go wrong. Chapter 5 deals specifically with the kinds of problems that can develop. More than one institution has given up on MBO after attempting to implement it because they did not avoid some of the major pitfalls.

Below are listed some of the elements that need to be taken into account and the steps to be taken if successful implementaiton is to be achieved. In short, if you are considering implementing MBO, you should:

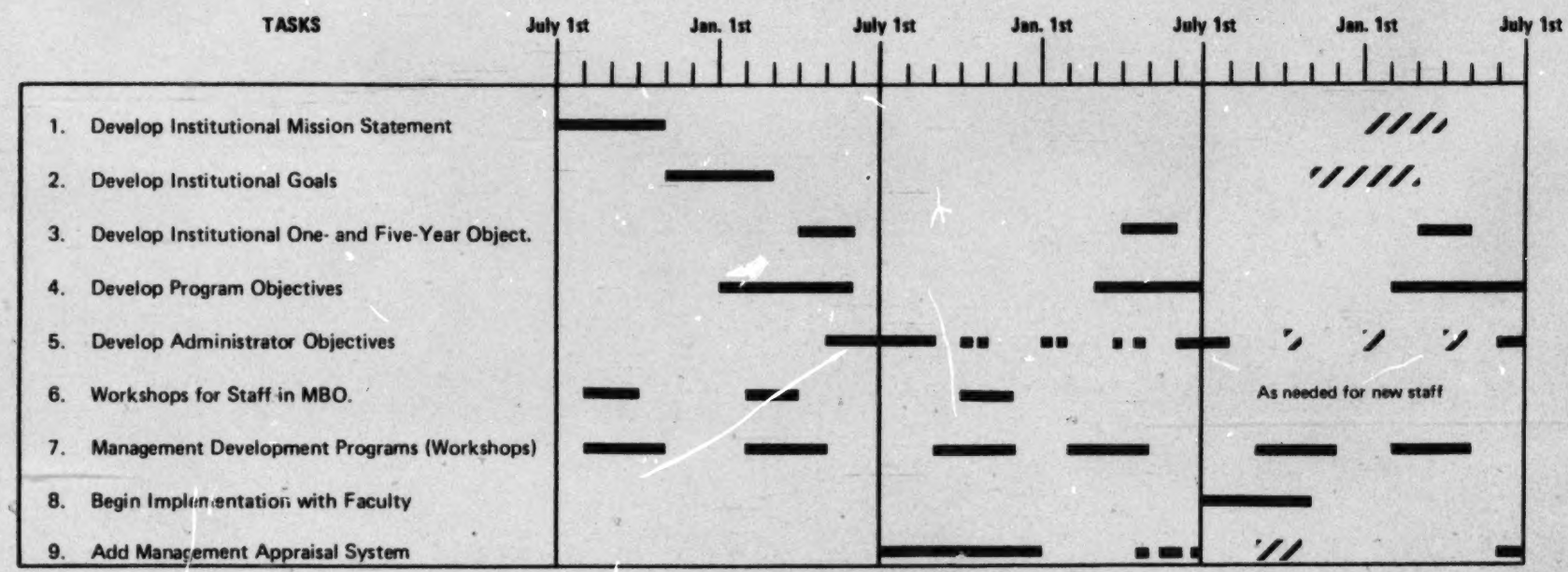
1. ***Develop an implementation plan and strategy.*** *Each institution is somewhat different and each situation requires a careful study before implementation is started. Tasks need to be defined and internal problems and opportunities taken into account. Some universities prefer to test the MBO concept in one college rather than to risk starting it on a university-wide basis. At any rate a careful analysis needs to be made regarding readiness to proceed. As a result of this process, a time-phased plan of action outlining the tasks to be accomplished should be developed, such as that illustrated in Table 3.1. By all means, avoid rushing into implementation without careful planning.*

2. ***Develop a model for your institution.*** *Chapter 4 deals with developing a model. It will suffice to say here that unless a model is clearly delineated the whole process can soon bog down in the sands of ambiguity.*

3. ***Clarify the program structure.*** *This will be touched on in Chapter 4 also; however, it is a key element. Many colleges and universities are using the PPBS program structure as developed by the National Center for Higher Education Management Systems (NCHEMS) in Boulder, Colorado. If so, this program structure (PCS) can be used to develop the MBO system. If PPBS is being properly implemented, program objectives have already been developed and should be used for developing administrator objectives. If an institution does not use the NCHEMS program structure, one must be delineated.*

4. ***Educate the staff and develop skills.*** *Before implementation can proceed, those who will use it need to be educated in the concept, in writing objectives, and in the quantification skills needed to use MBO. This can be accomplished through workshops, reading materials, and other means.*

SAMPLE SCHEDULE FOR IMPLEMENTING MBO



LEGEND:

Develop Final Form: ▬▬▬▬

Test Tenatively : ▬ ▬ ▬ ▬ ▬

Review and Modify: (if needed) ////////

Table 3.1

5. ***Clarify all job descriptions.*** *Implementation is made much easier if all job descriptions are clear, concise and accurately reflective of the key responsibilities of each administrator. If these descriptions are not in good order they should be reworked and "cleaned up."*

6. ***Review or develop the institutional mission, goals and objectives.*** *Since the whole MBO process rests on this framework, it needs to be well formulated.*

7. ***Use expert consultant help.*** *Make sure you have expert assistance in developing your MBO program. A consultant who is thoroughly familiar with the concept can give invaluable help in developing the implementing strategy and the model, educating the staff, critiquing the first set of objectives, etc. For so important an undertaking, the investment in consultant help is small and provides good insurance of success.*

8. ***Obtain a staff commitment for implementation.*** *In educational institutions where democracy is a cherished concept, it is important at some point to allow the staff to decide whether or not they support implementation of MBO. If they support it, full involvement can be expected. If they vote it down, implementation cannot be effectively accomplished without more education or personnel changes. The concept is susceptible to undermining and guerilla warfare if the staff does not support it and clearly see the benefits the system has for them.*

9. ***Allow time for a trial and "debugging" period.*** *It is recommended that at least one year be allowed for a trial period with the system in full operation before any evaluations or merit pay systems are tied to MBO. This will give the staff a "feel" for the concept and allow them to become comfortable with it. Early problems in quantification and objective writing can also be more easily overcome if a trial period is provided.*

10. ***Allow enough time for proper implementation.*** *In normal circumstances full implementation will take two- to five-years. The plan of action in Table 3.1 is a typical one. To rush the process faster than this is to court with failure.*

11. ***Plan to develop a system of administrator evaluation with built-in rewards and punishments.*** *With its potential for an objective evaluation system,*

MBO provides an opportunity to develop a system of rewards and punishments which can effectively motivate administrators to greater accomplishments. This system can be developed democratically by the staff while MBO is being implemented.

In summary, MBO is a delicate concept to implement. It is more difficult to begin in higher education than in business and industry because of the greater freedom and democracy usually associated with higher education. If the implementation strategy is not carefully developed and the matters discussed above are not taken into account, the implementation can easily fail as it has in some institutions.

The next chapter deals with developing an MBO model and presents a model currently being used in higher education.

CHAPTER IV

DEVELOPING AN MBO MODEL

IV. DEVELOPING AN MBO MODEL

There are innumerable ways of structuring an MBO system. Variations on the basic theme can take many forms. If a college is to succeed with MBO, it is essential to clarify and develop its own MBO model. Without this structure, chaos is likely to overtake the process. The actual form is less important than the fact that a structure or model is developed and well understood.

By a model, we mean a defined structure which makes it clear where goals and objectives will be written, and when these elements will be completed. In short, the total process of how this will be done needs to be laid out. In developing a model the following questions need to be answered:

1. *Will we develop an institutional mission statement? If so, how will it be done? Who will be involved?*

2. *Will we develop institutional goals? Who will develop them? Who will adopt them? Will we specify categories of goals?*

3. *Will we develop institutional objectives? Will they be regularly developed on a one- and five-year basis? Who will develop them? Who will approve them? Will we specify categories of objectives?*

4. *What will our program structure be? Will we develop program goals and objectives? If so, by whom? When? Will we use subprograms, or other subdivisions and will goals and objectives be developed for each area?*

5. *What form will administrator objectives take? Will the college specify the form for the objectives? When will they be done? Who will approve them? How often will they be written? Will we evaluate and determine salaries on the basis of these objectives?*

6. *Will the faculty be involved? How and to what extent?*

7. *Will our model be a simple or complex one? Will we plan to add to it over the years?*

As you can see, without clarifying the above some real difficulties can develop.

It should be noted here that if a college follows the requirements of the Office of Education in completing the monitoring and evaluation schedules of the AID Program,

it will in essence have to develop a model that goes to and includes developing the college mission, goals, and one- and five-year college objectives. Beyond this point, however, the college has many options for developing their PME or MBO system.

Table 4.1 shows one model that is being used in higher education. Although the model itself does not answer all the questions above, it does provide a basic framework from which to begin answering the basic questions posed above.

Table 4.2 depicts a simple college model currently being used by a community college in Maryland as its initial model. It has choosen to begin in a simple way and to add elements to its system as the years pass and as it has the time and skills to do so. It will gradually move towards a more complex model such as found in *Table 4.3.*

Table 4.4 presents still a further depiction of some options that are available to a college in developing a model.

It is critical in this process for the college to take the time to plan carefully. It is at this point also that expert outside help may be needed to design an effective system. Many MBO systems fail before they really get started because colleges jump into them – without carefully planning and developing an effective model and answering the questions posed earlier in this chapter, plus other questions that inevitably develop.

Writing too many goals and objectives for too many areas will suffocate the MBO system and create a giant paper mill. To avoid this, the model needs to be simple and clear. The focus must be on the institutional goals and objectives and not unduly on the form and function of the MBO process. An institution rushing into MBO would be well advised to seek expert help in developing its model and planning its implementation strategy.

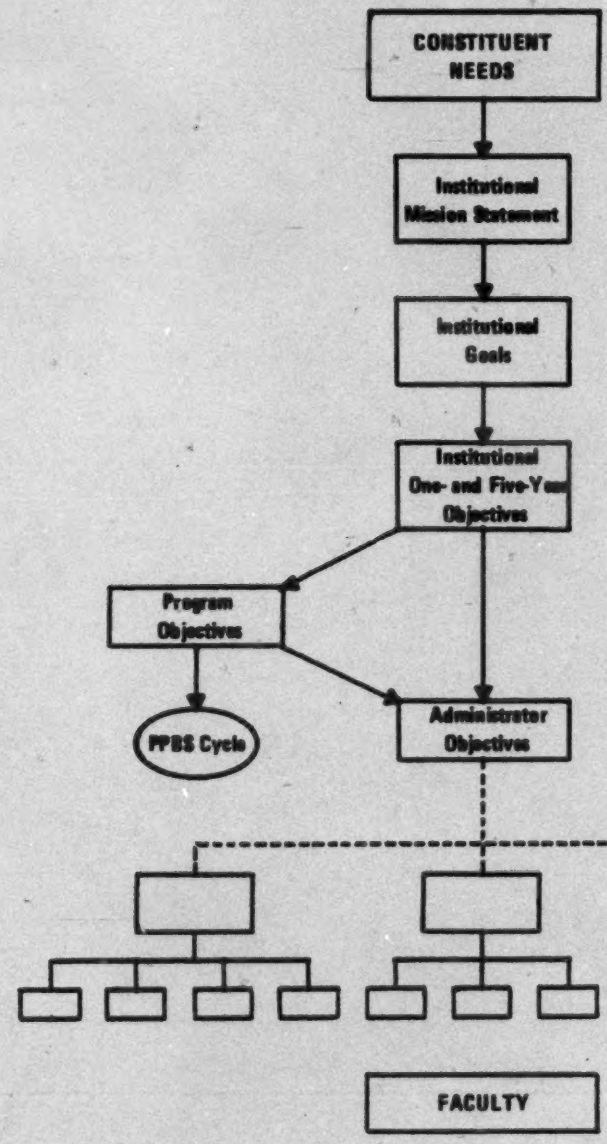
Colleges would be well advised to start slowly and simply. A simple system that makes an impact and works is far desirable to a complex system which is not understood, which does not impact positively on the college, and which encourages people to maintain their old styles of management as "permanent" back-ups to the new system. This may actually be counter productive because it develops negative attitudes toward MBO, which in turn may prevent the implementation of an effective system.

It is not hard to find colleges where MBO has failed and where attitudes are such that starting an effective system is nearly impossible.

Chapter 5 deals with the reasons why MBO fails. Colleges would be well advised to study the list presented there before starting any MBO efforts.

Table 4.1

A MODEL FOR THE MBO PROCESS IN HIGHER EDUCATION



Step 1. Clarify and define constituent needs.

Step 2. Clarify and develop institutional mission statements.

Step 3. Define and state the basic goals of the institution.

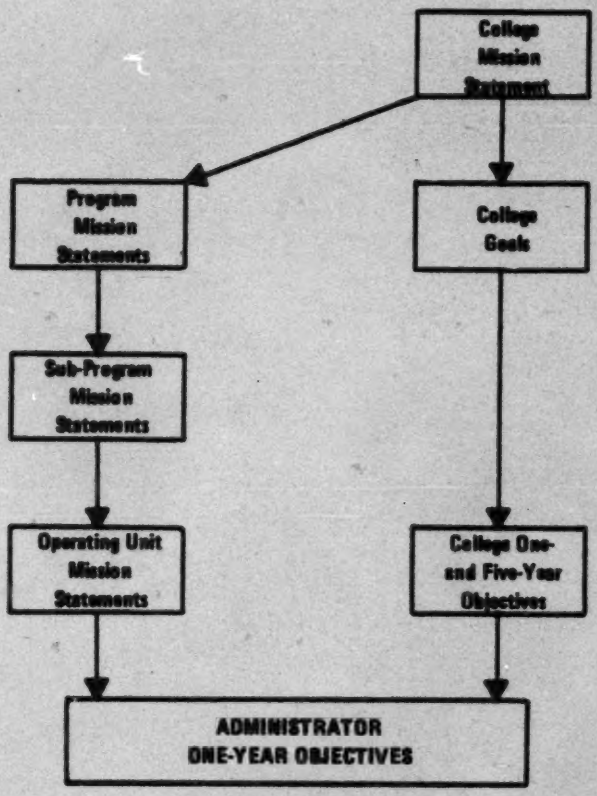
Step 4. Each year develop one- and five-year objectives.

Step 5. Develop specific one-year program objectives.

Step 6. Each year, develop one-year, specific, quantifiable objectives for administrators, which are directly related to the program and institutional objectives.

Step 7. If an institution wishes, objectives can be developed as in Step 5 for department chairmen, faculty, and counselors in the same, or a modified form of those used by administrators.

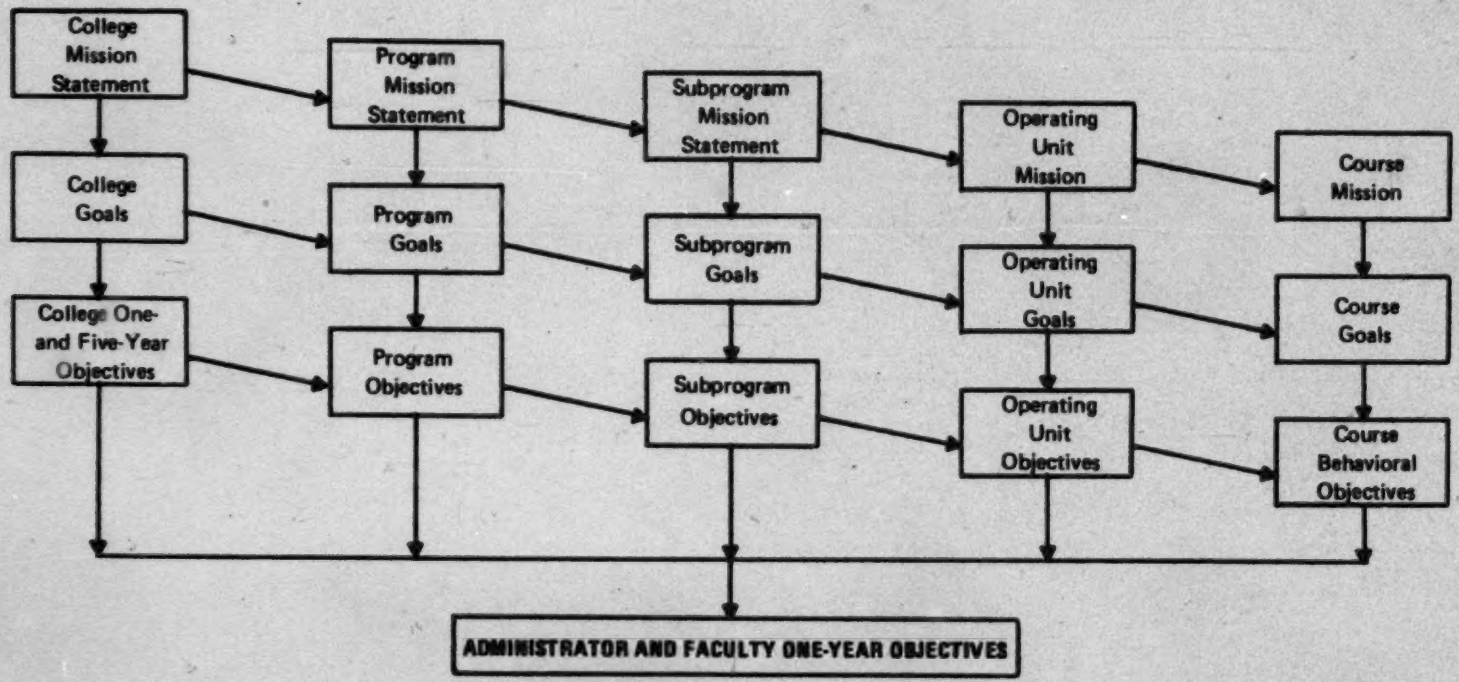
SIMPLE COLLEGE MBO MODEL



COMMENTS

This college has chosen not to develop program goals and objectives, but to relate these units through mission statements instead. Its program structure is made up of three elements (programs, subprograms, and operating units). This model is a straight-forward one that relates only to the administrators and does not involve the faculty on the instructional program in MBO, other than through mission statements for academic program units.

COMPLEX COLLEGE MBO MODEL

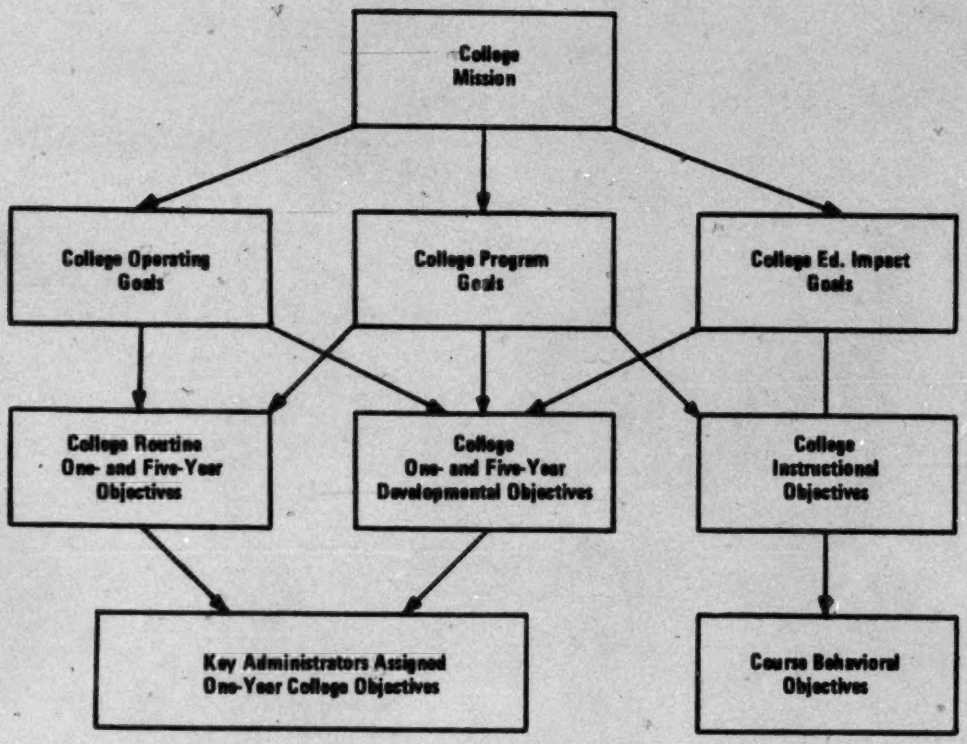


In the above model, mission, goals and objectives are written for all organizational units and tied into one-year objectives for each administrator and faculty member. The programs, subprograms, operating units and courses are budget units in this system. The financial resources of the college are allocated according to program, and the objectives are evaluated thereby creating a modified Planning, Programming, Budgeting, and Evaluation System.

Table 4.3

Table 4.4

AN ALTERNATIVE MBO MODEL


College Mission
College Operating Goals
College Program Goals
College Ed. Impact Goals
College Routine One- and Five-Year Objectives
College One- and Five-Year Developmental Objectives
College Instructional Objectives
Key Administrators Assigned One-Year College Objectives
Course Behavioral Objectives

In this model, the college focuses attention on planning at the institutional objective setting level and distinguishes between different categories of goals and objectives. Once objectives are set at the institutional level, the one-year objectives are assigned to key administrators to carry out in the management process. College Educational Impact Goals (see Chapter VI for further clarification) are set and key directly into the curriculum and courses. In this model, not all administrators and no faculty members actually have individual objectives in the classical MBO sense.

CHAPTER V

REASONS WHY MBO FAILS

V. REASONS WHY MBO FAILS

As mentioned earlier, MBO is difficult to implement properly; many things can go wrong. Some colleges have plunged into MBO too rapidly and without proper planning, and as a result, have experienced many difficulties. Some have even given up on implementing the concept. This need not happen if care is taken.

Following is a list of reasons why MBO fails in colleges:

1. ***Assuming that MBO is incompatible with humanistic education.*** *Accountability, quantifiable objectives and measuring outputs are anathema to some humanistic educators. They say these concepts destroy attempts to "be human" because the "affective" realm in which they work cannot be measured. Therefore, these educators reject all efforts to measure what they do. As noted below (No. 11), not everything can be quantified, and it need not be in order for MBO to succeed. However, we can measure much of what we do and far more than we have ever attempted. MBO does not force measurement of elements that cannot be measured, but it does require a sometimes uncomfortable clarification of what it is we are supposed to be doing. This is a healthy approach which can help the humanistic educators by forcing them to focus more carefully on the outcomes they hope to achieve and the methods necessary to accomplish them. To say the MBO concept is opposed to the affective realm or to humanistic education is to create a false impression that can cripple implementation of the MBO system.*

2. ***Considering MBO as a cure for all ills.*** *Although it has tremendous potential for helping administrators and faculty to be more effective in planning and directing their activities, MBO will not cure poor human relationships, incompetency, campus power struggles, or other ills which plague some institutions. To assume that MBO is a cure for all ills is to heap upon it a burden it cannot carry. Unrealistic expectations will inevitably lead to failure.*

3. ***Believing you are too busy to implement MBO.*** *A number of college presidents have said they are too busy to devote time to beginning MBO. In most cases, they are too busy "putting out fires" and handling the very crises which could be avoided by developing a good MBO system. Extensive time commitments are not required to begin MBO. A week from each administrator each semester would be more than ample. The*

attitude that there is not time available to implement MBO will kill it in a hurry. Yet, administrators really cannot afford not to take the time, for they urgently need the more efficient operation that MBO can give them.

4. ***Assuming that all is well and that MBO cannot help because you are already perfect.*** *Some colleges fail to seriously consider MBO because they believe they already function at near-peak effectiveness. They believe the "folk" administration of the pre-1960's era is still possible in higher education. This may be true for a few small isolated liberal arts colleges, but for 95% of our modern colleges and universities a systems approach is needed to administer these complex and rapidly changing institutions. Remember, the Penn Central did not believe it needed the systems approach either – more than one person has drawn an uncomfortable analogy between higher education and this bankrupt corporation. In summary, a complacent attitude that all is well will inhibit any attempts at improvement and forestall efforts to implement MBO.*

5. ***Trying to implement the concept overnight.*** *Some colleges have been so attracted to the system that they have attempted to install it overnight. This simply cannot be done. In most institutions two to five years are necessary to fully implement MBO. Administrators need to be educated to the concept, objective writing skills developed, and institutional mission, goals and objectives statements reviewed and updated. The system should have a "dry run" period of at least a year before becoming fully operational.*

6. ***Forcing unrealistic objectives on subordinates.*** *This will kill MBO as fast as anything. Quantifiable objectives for each administrator should be set democratically and realistically. In the proper process administrator objectives are proposed by the subordinate to his superior. They are then jointly reviewed for relevancy and a consensus is developed. The forcing of unachievable objectives on a subordinate will lead to a discouragement and rebellion which can destroy the MBO system.*

7. ***Creating a huge paper mill with MBO.*** *There is always the danger that the value of the MBO system may be lost in a great paper shuffling exercise. Educators are usually very verbal and highly intelligent. Unless they maintain their focus on the objectives of what they are doing, they tend to produce a large number of esoteric pointless statements. The resulting paper mill would soon suffocate MBO.*

8. ***Emphasize the techniques of implementing MBO rather than focusing on the results of the institution.*** *There is always the danger of becoming so caught up in forms, procedures, and techniques that we lose sight of the real mission of improving the educational process by achieving clearly stated objectives. MBO is a system that helps us more effectively establish priorities and focus on the outcomes of what we are doing. When the processes become the "tail that wags the dog," the system loses its effectiveness.*

9. ***Ignoring feedback generated in the MBO process.*** *Properly applied, the MBO process will generate a good deal of feedback on the effectiveness of the programs, administrators, etc. If properly used, this information will help to improve the institution. If disregarded, a golden opportunity to become more effective is lost.*

10. ***Omitting a program to improve, coach, and develop administrators.*** *Some of the feedback mentioned above will relate to poor performance by some administrators. If this feedback is identified and analyzed, it will point to specific administrator weaknesses that need to be strengthened. Based on this information, the college should provide a program to help these administrators develop their skills. Moreover, a program should be provided to help all administrators develop professionally. Paradoxically, the educational field spends very little on the professional development of their managers while the business world sees the real values in education and spends large sums of money in this area. Educators need to focus more on this area, particularly since most educational administrators have been prepared as teachers, counselors, or researchers rather than as administrators. A professional development program is essential to educational survival as well as to an effective MBO program.*

11. ***Trying to quantify everything.*** *Trying to quantify the things which cannot be measured will destroy MBO. Although much more can be measured than we think, particularly involving the outputs of higher education, trying to measure everything will lead to discouragement and failure. For MBO to work effectively, we must quantify what we can and simply delineate and identify that which cannot be quantified.*

12. ***Having objectives but no plans for implementation.*** *To set objectives but not clearly delineate needed resources and plans for achieving them is to court failure. In requiring that objectives be realistic and achievable, MBO also requires that plans to achieve them be made at the same time.*

13. *Omitting periodic reviews. Once an administrator and his superior agree on a year's objectives, the subordinate is free to proceed on his own. It is essential, however, that periodic reviews (we recommend quarterly) take place. Their object is to report on progress, make needed adjustments due to changing conditions, and generally coordinate and communicate on important matters. Omission of the reviews destroys some of the value of MBO and increases the possibility of failure. Failure to carry out these reviews kills as many MBO systems as any other reason.*

14. *Refusing to delegate authority needed to carry out objectives. Once an administrator has his objectives, he needs the freedom and authority to carry them out. Refusing to delegate this authority causes administrators to become discouraged and to "pass the buck" for failures. This not only inhibits the proper functioning of MBO, it also deprives administrators of their initiative and creativity.*

15. *Failing to reward administrators who really produce. One of the advantages of MBO is that administrators are given the freedom and authority to produce quantifiable results. In an MBO system, administrators can be objectively evaluated and those who really produce can be identified. If these administrators are not rewarded in some way, their motivation will be severally damanged. Not all educators are instrincally motivated to the point of continuing to work hard and produce results while colleagues fail to do so. We have regressed to a "low mean" too often in our efforts in education. MBO provides a chance to break this barrier and to reward on the basis of demonstrable results.*

16. *Focusing on MBO primarily as an evaluation system. MBO is a management system. Evaluation is a by-product. If a president implements MBO primarily to hold subordinates accountable and to evaluate them, the emphasis is in the wrong place and MBO will suffer. When subordinates believe the system is primarily an evaluation system they become fearful of it, play games with it, and generally subvert its main purpose as a management tool.*

17. *Refusal by the top administrative officer to change administrative style. For MBO to work, the top administrative officers have to modify their management styles. They need to delegate more, to supervise differently, to plan differently, etc. If the top administrative officer continues to operate in his old administrative style, then MBO tends to become*

an "add-on" which subordinates come to view negatively. The benefits that should accrue to the top administrator and the subordinates are usually lost and MBO dies.

18. ***Implementing MBO in an unhealthy environment.*** *Implementing MBO puts a certain amount of stress on an organization – as all change does. An administrative structure needs to be in reasonable "health" in order to bear the stress and provide a cooperative environment in which MBO can flourish. If there are poor human relations, lack of cooperation, little teamwork, and other problems, then MBO will fail. These problems need to be taken care of first, then MBO can be started with a reasonable chance of success. To try to begin MBO in an "unhealthy" environment will likely destroy it before it can be implemented.*

If an institution can avoid the errors listed above, and can develop an effective model as discussed in Chapter 4, then it can proceed to setting institutional and individual objectives. This is covered next in Chapter 6.

CHAPTER VI

SETTING INSTITUTIONAL MISSION, GOALS, AND OBJECTIVES

VI. SETTING INSTITUTIONAL MISSION, GOALS, AND OBJECTIVES

The whole MBO process rests on the precise definition of institutional direction. This is done in the MBO process through a clear delineation of the mission, goals, and objectives. Examples of an institutional mission statement and of goals and objectives are found in *Tables 6.1* and *6.2*.

As mentioned earlier, the AIDP monitoring and evaluation schedules require that an institution develop institutional one- and five-year objectives and relate them to the college's AIDP activities. In short, to be in AIDP a college must develop a part of an MBO model and use the concept in managing its AIDP activities. It is a short step from this point to a full blown MBO system that impacts the total college.

The ***mission statement*** of a college is a broad general statement of institutional purpose which defines the parameters of the college's activities. This statement is similar to statements of purpose and philosophy found in many college catalogs. It should be specific enough so that it could not be put in another college catalog. It should be broad and general enough to cover the total college thrust and mission.

The institutional ***goals*** are more specific and need careful attention. They are subject to change and should be reviewed periodically at least every three years. The institutional ***objectives*** are even more specific and should be quantifiable. Table 6.2 shows the actual one- and five-year objectives from a large eastern community college.

A major question that is always asked is, "Who develops these statements of institutional mission, goals and objectives?" There are many ways to go about it. Ultimately, of course, the Board of Trustees should approve these elements since it sets the course for the institution. However, the development prior to submission to the board offers many possibilities.

For the mission and goals delineation, many institutions go to their constituents for valuable input. Generally, questionnaires are developed to solicit constituent opinion. The Delphi Technique* is sometimes applied in order to seek a consensus from a constituent group. Some commercial instruments are also available. The Educational Testing Service in Princeton, New Jersey, has an Institutional Goals Inventory (IGI)

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* The Delphi Technique is a method for assessing group opinion and arriving at a consensus through a series of successive questionnaires (usually three) rather than through face-to-face group meetings. The technique was developed by the Rand Corporation. See the article by Cyphert and Gant in the bibliography for further information on the Delphi Technique.

which can be used. For community colleges, the Battelle Center for Improved Education in Columbus, Ohio, has a program which involves coming into a college district and polling the various college groups regarding the desirable institutional goals.

Currently, much is being written and performed in this area of higher education. This approach offers a real opportunity for institutions to develop a meaningful process with many positive by-products from the wide involvement of college supporters.

Some colleges will not wish to undertake a broad study to review their mission and goals. In this case, current statements should be reviewed or developed by the administrative staff, faculty, and students. Task forces or committees can be effectively used here and the products of the effort presented to the Board of Trustees for approval.

The institutional one- and five-year objectives should come from within the institutions. These elements are derived from the mission and goals and affect the means by which the institution is going to move toward achievement of its goals. Because the professionals on the campus should be the experts in deciding the means for accomplishing the goals, they should develop the objectives. The president should also play a major role, and when the process is completed, he should present these objectives to the Board of Trustees. After adoption, the board should then hold the president responsible for attaining the objectives. Table 6.1 presents a sample procedure for developing one- and five-year objectives within the college.

In the MBO model proposed here, we suggest that the president's objectives be the institutional objectives. These in turn become an important element in the board's evaluation of the president's performance.

One word of caution: If a college decides to develop its own goals and objectives, it is not a good idea to use a set from another college as a model. This procedure can lead to an unwise emulation of goals and objectives which may not be appropriate. It may also remove the discipline needed to review in depth the college's own situation. Too many times in the past educators have copied and borrowed from each other and have lost institutional uniqueness and creativity in the process. In the case of the MBO process, we have found that the easiest way has not proven to be the best.

Setting goals and objectives closely relates to the subject of measurement of outcomes. Although higher education has neglected this area too long, it is now receiving major research attention. In fact, in the next decade this area may receive more research attention than any other. Until we obtain precise measurements of the outcomes of our educational processes, we will be somewhat limited in the full application of the MBO process.

It is not within the purview of this document to discuss the measurement of outcomes. However, if the reader wishes to pursue the topic, an earlier monograph in this series deals specifically with this topic (see Outcome Measures in Higher Education, AIDP two-year college consortium, Volume 1, No. 3, McManis Associates, Inc., 1201 Connecticut Avenue, Washington, D. C. 20036).

SAMPLE MISSION, GOAL AND OBJECTIVE STATEMENTS

A. **College Mission Statement**

The mission of Everybody's College is to provide a high quality, comprehensive community college program for the residents of Everybody's County. This program will include two full years of college transfer work, post-high school vocation, technical and career eduction up to two years in length, adult and continuing education, developmental education, general education, and a full program of student services, including counseling and guidance, to enhance and enrich the students' educational opportunities. Everybody's Community College will seek to carry out its program with the most progressive educational methods available as economically as possible, and with full accountability to its constituents.

B. **College Goal Statements (List not intended to be complete)**

1. Each Associate's degree recipient will be a well-developed self-learner.

2. Each Bachelor's degree recipient will be able to effectively use his leisure time.

3. Each Bachelor's degree recipient will have command of a specialized body of knowledge and will be able to find work or be admitted to graduate school.

4. Each Associate in Applied Arts degree recipient will have command of a specialized body of knowledge and skills which will make him employable in this field.

5. Each Associate's degree recipient will have the knowledge and skills to participate in our form of democratic government.

6. Each Associate's degree recipient will have an understanding of how change affects his life and he will know how to adjust to change.

7. Each Bachelor's degree recipient will be able to articulate a consistent philosophy of life.

8. The college will use the most modern management techniques in carrying out its affairs.

9. The college will use behavioral objectives and competency-based instruction in all courses.

10. The highest priority in the college will be accorded to the Education of students through the most effective means possible. Research activities will be subservient to the educational process.

C. **Examples of Program Objectives**

1. Instructional Program:

   a. By September, 1979, 75 percent of all college courses will be taught using behavioral objectives.

   b. By July, 1978, a foreign study program will be planned and readied for offering during the 1978-79 academic year. This program will offer college credit.

2. Student Personnel Services:

   a. By July 1, 1978, all counselors will be trained to offer human potential seminars.

   b. By July 1, 1978, a new academic advisement system will be developed and proposed to the academic senate.

D. **Examples of Curriculum Objectives**

1. Physical Education:

   a. Each student graduating in June, 1977, will have the knowledge and skills needed to participate in two sports with carry-over value to age sixty-five.

   b. Each student graduating in June, 1977, will have the knowledge and understanding necessary to be an intelligent spectator of two professional sports.

2. Automotive Technology:

   a. Each two-year graduate in June, 1977, will be able to tear down, reassemble, and repair a standard carburetor within two hours.

   b. Each two-year graduate in June, 1977, will be able to install new rings in any standard-sized American-made automobile within four hours.

3. English and Reading:

   a. Each graduate in June, 1977, will be able to read at the 50th percentile for grade 14 on a standardized reading test.

   b. Each graduate in July, 1977, will be able to pass a college test on the use of the library.

PROPOSED COLLEGE ONE- AND FIVE-YEAR OBJECTIVES (1972-73)*

A. One-Year Objectives

All one-year objectives are to be completed by July, 1973, unless otherwise stated.

1. Carry out a full review of the basic aims and objectives of the college and revise as needed.

2. Receive the final report of the Task Force on College Governance and implement a new or revised form of college governance.

3. Complete a full review of college policies regarding faculty, administration, and classified staff and make any necessary policy changes for the 1973-74 year.

4. Develop an affirmative action program for the college and submit it to the Federal government.

5. Develop and present to the board a comprehensive policy regarding copyrights, patents, computer software and other rights to cover materials and other items developed by college staff members.

6. Develop an administrative organizational structure for a multi-college district.

7. Develop the educational plan and Master Plan for the Clinton campus.

8. Study and recommend a campus size limit for the Clinton campus.

9. Explore the feasibility of establishing a college foundation for purposes of seeking and receiving gifts to the college.

10. Develop a plan for soliciting corporation gifts to the college.

11. Develop wage and policy guidelines concerning the employment of paraprofessional employees.

12. Begin the implementation of the National Council for Higher Education Management Systems as a pilot project.

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* Actual objectives used in a large eastern community college.

13. Study the data processing needs of the college and project the college needs for at least five years.

14. Review all computer reports by functional area used for administrative purposes and develop plans for revising as needed.

15. Continue the development of Management By Objectives (MBO) and prepare the staff for full implementation in 1973-74.

16. Develop a foreign travel program for the college.

17. Develop five-year programs and staffing options for all major areas of the college.

18. Develop, present, and implement a new faculty evaluation and promotion system.

19. Develop a proposal for a comprehensive developmental studies program involving all academic areas and all appropriate areas of student personnel services.

20. Prepare a thorough study of the instructional programs and options of the college and recommend a new model for presentation in the college catalog.

21. Review the college's general education requirements in light of the recent state board modifications in the General Education Program and make any desirable recommendations regarding changes in the college's program.

22. Study the feasibility of establishing a non-punitive grading system.

23. Review college policy regarding class size and teacher loads on a department-by-department basis and make any recommendations regarding possible revision.

24. Develop and present to the board an evaluation and merit pay system for administrators for implementation in the 1973-74 college year.

25. Study the college's services to veterans and develop a plan for coordinating these services.

26. Develop a plan for implementing a decentralized counseling program.

27. Develop and implement a revised academic advisory system.

28. Add a minimum of two new vocational-technical program options.

29. Complete planning on Building 6 and prepare to bid the project by July 1, 1973.

30. Let contracts and begin construction of the college's union.

31. Manage and control the college's budget to within 1% of the funded current operating budget.

32. Initiate a cost analysis program and analyze at least two major areas of the college.

33. Continue implementation of the PPBS system by preparing the fiscal year 1974 budget at the primary (course) element and support category levels.

34. Complete a classified state wage and job classification study.

35. Develop a proposal for a classified staff evaluation program.

36. Study the relationship of cable TV to the college and propose to the board a statement regarding college policy on the subject.

37. Establish a college speakers' bureau and publicize it to community groups which are in positions to invite college personnel to speak to their groups.

38. Develop a plan for an alumni association and begin to implement this plan.

39. Increase the number of extension centers from four to a minimum of seven.

40. Increase the enrollment in community services programs to 2,200.

41. Carry out a study of student housing needs and develop a plan for assisting students in meeting their needs in this area.

B. Five-Year Objectives.

1. Fully implement the MBO and PPBS systems by the 1974-75 college year.

2. Increase the number of vocational-technical programs and options by at least 50 percent over the 1971-72 level.

3. Implement an affirmative action program which will provide a staffing pattern in all areas of the college at least equal to the racial balance in the county's population.

4. Double the Federal funds coming to the college over the 1971-72 level.

5. Select the site for a third campus in the northern part of the county.

6. Increase the percentage of county residents on the professional faculty and staff from 65 percent to 85 percent.

7. Study and make recommendations on the establishment of a college radio and/or TV station.

8. Continue to emphasize the development of new instructional strategies and materials and support this effort on a college-wide basis through the provision of opportunities for faculty and staff to develop new skills, knowledge, and competence in these areas.

9. Implement instruction by objectives (IBO) and have by 1976 at least 30 percent of the college courses taught in this manner.

10. Study the use of new instructional methods and materials and develop the instructional spaces and equipment necessary for their uses on both the Largo and Clinton campuses.

11. Study and implement a series of mini-courses and certificate programs for the vocational-technical areas.

12. Study the addition to the college of any cooperative programs that are feasible and add at least three new programs by 1977.

13. Develop and implement a Management Information System (MIS) by 1976.

14. Continue the automation of college systems and fully automate the college purchasing and inventory systems by 1976.

15. Complete the college's union, Building 6, and begin classes on the Clinton campus.

16. Increase the number of students included in the educational programs at the college to twenty-two (22) students per 1,000 population.

SAMPLE PROCESS FOR DEVELOPING INSTITUTIONAL OBJECTIVES

SETTING ONE- AND FIVE-YEAR OBJECTIVES

Following is the procedure that will be used by Everyone's Community College for setting one- and five-year objectives. This process should coincide with the budget development process. Therefore, the specific dates for each step will be set in conjunction with the budget development process each year.

Step 1: A memo from the president's office or notice in the college newsletter will be made to all college employees indicating that the college will develop objectives and that any they would like to suggest should be sent to the president's office. Administrators will be asked to send in their recommendations through the proper administrative channels to the head of each program area and then to the president's office.

Step 2: The president will put together a first draft of proposed objectives.

Step 3: The rough draft will be sent to all college staff members asking suggestions and reactions. Reactions will be sent to the president within two weeks.

Step 4: The president may revise as needed. The revised draft will go to the college senate for advice and consent.

Step 5: The president will give the objectives a final review with the administrative council and will send the objectives to the Board of Trustees for final approval.

Step 6: The board will review, modify if needed, and approve.

Step 7: The president will assign each objective to a key administrator.

CHAPTER VII

SETTING INDIVIDUAL OBJECTIVES

VII. SETTING INDIVIDUAL OBJECTIVES

The writing of individual objectives is the key to making MBO work. This is where the "power" is applied to make the wheels go around. At this level, personnel commitments and accountability are established.

In a classical MBO model all administrators below the president develop one-year objectives and negotiate them with the person to whom they report. When the objectives are completed, they are assigned a priority rating to help determine which ones should have major attention.

Once objectives are set and prioritized, they become the parameters for the administrator's work for the next year. If properly written and quantified, they become the focal point for full accountability. Competent administrators with clear objectives need little supervision unless something unforeseen happens. Thus, a management-by-exception situation results.

Three times a year the administrator and his subordinates convene for major reviews of the objectives. They assess progress and make any needed adjustments in objectives due to changing or unforeseen circumstances. At the final year-end review, a final appraisal is made of the administrator for that year.

The clear accountability and concise definition of an administrator's work means that less supervision is needed. This in turn allows for a supervisor to manage more people more effectively. The idea that the span of an administrator's control can cover only four-to-six people is no longer true. Under this system, an administrator can effectively have eight-to-ten (or more) people reporting to him. This allows educators to consider new administrative frameworks that have the potential for reducing typical administrative hierarchies and for saving money.

In the model depicted in Table 4.1, administrators write objectives in five broad areas:

1. ***Routine.*** *These objectives are derived from the job description. They are the routine duties of the position and are basically the same from year-to-year.*

2. ***Problem Solving.*** *These are objectives that get at the solution of major problems in a certain area. We recommend that each administrator write two or three of these each year.*

3. *Innovative. These objectives aim at adding new elements to a program. Two or three of these should be involved in each administrator's objectives each year.*

4. *Professional Growth. These objectives aim at helping the administrator or faculty member grow professionally. Each should have several of these each year.*

5. *Community Services. Some community colleges also require that administrators write community services objectives. These aim at involving the staff in community activities which will be benefical to the person and the college.*

(*Table 7.1* gives some examples of these five types of objectives.)

When writing objectives there are various forms that can be used. *Table 7.2* illustrates the three forms that most often are used. Experience shows that the *listing form* is the easiest for those writing objectives for the first time. It forces a discipline because the writer must declare what will be done to achieve the objective.

The *sentence form* is the shortest and tends to be used most often by those who are veteran objective writers. It is acceptable if the writer has skill in quantification and objective writing.

The *variable limits form* lends itself to greater quantification and more objective evaluation by the administrator, by determining not only whether the objective has been achieved, but also at what level. This type of objective lends itself to some exotic mathematical schemes, particularly where objectives are prioritized and numerically weighted. It is easy to come up with ratings of administrators vis-a-vis other administrators.

Table 7.3 provides some criteria that easily can be applied to objective statements to determine whether or not the objective is a good one. *Table 7.4* through *7.7* give some additional suggestions regarding writing objectives.

One point that needs to be covered is whether or not faculty members should write objectives, and, if so, should they be like the administrators' objectives. Although the answer will depend on each college situation, the author believes that the first priority of a faculty should be to develop behavioral objectives for its courses. However, there is no reason why a faculty should not also write objectives in the same way as administrators that relate directly to its performance. At some colleges, faculty members write these types of objectives with good results. Faculty objectives can certainly clarify responsibilities and provide to faculty members many of the same benefits that administrators receive.

If an institution prefers not to have individual objectives, it can link its institutional objectives to the management process in another way. Table 4.4 depicts an MBO model of this type.

In the use of the model in Table 4.4, the college would take its one-year objectives and develop a responsibility matrix such as that shown below in *Figure 7.1.*

Figure 7.1
Responsibility Matrix

No. of Objectives	President	Dean of Academic Affairs	Dean of Student Affairs	Dean of Community Affairs	Controller	Business Manager	Administrative Dean	Etc.
1.		P		S				
2.			P		S	S		
3.	P							
4.			S	P				
5.					S	P		
6.	P							
7.	S		S				P	
Etc.		S			P	S		

P – Person primarily responsible

S – Person with secondary responsibility

This matrix is developed by taking each institutional objective and determining which top level administrator can best "quarterback" its accomplishment. The objective is then assigned to that person and a "P" is put in the proper column. It is then determined if other administrators are needed to give close support to this person in accomplishing the objective. If so an "S" is placed in their column and it is understood that they are committed to assisting the person with primary responsibility.

The responsibility matrix allows an institution to develop "mini task forces" around each objective and to cut across organizational lines in accomplishing its basic objectives.

Each person with a primary responsibility has a quarterly review with the president to report on progress toward accomplishing the objective.

The responsibility matrix can be used with other MBO models and in combination with individual and/or program and operating unit objectives.

The following tables give additional information, examples, and assistance in writing individual objectives.

Table 7.1

EXAMPLES OF FIVE TYPES OF ADMINISTRATOR OBJECTIVES

Routine or Regular. I shall control the 1974-75 fiscal year budget for the Student Services area. This will be accomplished if:

1. *The total amount of money allocated for this fiscal year for the SS area is not exceeded.*
2. *All requisitions are correctly filled out and have correct budget codes.*
3. *No requisition is approved unless full funds are available to cover the purchase.*
4. *All transfers-of-funds are made through proper procedures and have the president's approval prior to being committed.*

Problem Solving. I shall study and propose a solution to the drop-out problem in Math 253. This will be accomplished if:

1. *All students dropping the course are interviewed to find out the reason why they left the course.*
2. *The instructor of the course is interviewed about the problem.*
3. *A report is written delineating the reasons for the drop-outs.*
4. *A written report is submitted to the Dean of Instruction by June 1, 1975, listing ways of solving the problem.*

Innovative Objective. I shall institute an ABO system within the business office by July 1, 1975. This will be accomplished if:

1. *All staff are oriented to the concept by January 1, 1975.*
2. *At least one Objective Writing Workshop is held by March 1, 1975.*
3. *All staff submit written objectives for their area for fiscal year 1976 by July 1, 1975.*
4. *A system of quarterly reviews is agreed upon.*

Professional Growth Objective. I shall submit one article for publication in a professional journal by July 1, 1975.

Community Service Objective. I shall be a member of, and serve in one community organization during the 1974-75 college year. This will be achieved if:

1. *I obtain a membership in a community group.*
2. *I attend 80 percent of the meetings.*
3. *I present or have presented at least one program dealing with the college.*

Table 7.2

EXAMPLES OF THREE FORMS FOR WRITING OBJECTIVES

A. ***Listing Form.*** I will develop an in-service program for the student personnel staff for the 1974-75 college year. This will be achieved when:

1. *An assessment of the needs of the staff is accomplished.*
2. *At least four special programs or workshops are developed and held.*
3. *Each program receives at least a 2.5 group rating on a five-point scale.*
4. *The staff rates the overall program at least 2.75 on a five-point scale.*

B. ***Sentence Form.*** During the 1974-75 college year, I will develop an in-service program for the student personnel staff based on assessed needs and receiving a participant rating of at least 2.75 on a five-point scale.

C. ***Variable Limits Form.*** I will develop an in-service program for the student personnel staff based on their assessed needs. The elements determining success are:

	Min. Level	Average	Max. Level
1. *Programs or workshops*	*3*	*5*	*7*
2. *Rating per program (five-point scale)*	*2.0*	*2.5*	*3.0*
3. *Rating for total program (five-point scale)*	*2.5*	*2.85*	*3.2*

Table 7.3

CRITERIA FOR MEASURING OBJECTIVES

The following criteria, when measured against each objective, will help determine whether or not the objective is sound. Criteria Numbers 1, 3, 4, and 5 must be included, or it is questionable whether one has an objective at all. Criteria Numbers 2 and 6 need not be stated in the objective, but they must be understood.

Each objective should have:

1. *Outcome: What is to be accomplished? What is to be achieved?*
2. *Action: How will it be done? What method used?*
3. *Actor(s): Who will do it? Who is accountable?*
4. *Time: When will it be done? Date for completion.*
5. *Measure: How much will be accomplished and how well? What quantity, quality, or cost measures are used?*
6. *Judge: Who will determine whether or not the objective is achieved? What method will be used to determine adequacy or accomplishment?*

The writer of objectives should try to:

1. *Avoid "motherhoodish" statements, oversimplifications, understated or overstated words, opinion subject to change, exaggerations, inexactness, idealistic terms, and terms with a range of meanings.*
2. *Use precise terms, that state how much that can be proven, and that can be quantified into percentages, ratios, numbers, correlations, averages, etc.*

To be of any value, objectives must be quantified.

Table 7.4

CHARACTERISTICS OF GOOD OBJECTIVES

Good objectives should:

1. Be realistic and obtainable.
2. Cover only one issue or responsibility.
3. Be fair to subordinate administrators:

   Reasonable,
   Growth-causing, and
   Not beyond job limits.
4. Be in written form.
5. Clearly fix accountability for completion of the task.
6. Involve only major job responsibilities or issues.
7. Express results to be attained in one or more of the following:

   Quantity,
   Quality,
   Time, and/or
   Cost.
8. Cover only job factors which are controllable by the administrator.
9. Guarantee that measurment is possible by both the administrator and the person to whom he reports.
10. Carry a priority rating in relation to other objectives.
11. Be directly related to institutional and program objectives.
12. State if another administrator must play a joint role in accomplishing the objective, including what he must do.
13. Be as short, clear, concise and understandable as possible.
14. Be a positive statement of what is to be accomplished.
15. Be realistic; resources must be available to accomplish objectives.

Table 7.5

OBJECTIVES MEASURE THESE FOUR THINGS

Quantity :

1. 1,200 students will be enrolled.
2. 3,000 new student applications will be processed.
3. Attendance will average 300 people per game.
4. Class size in composition will be limited to twenty-five.

Quality :

1. A greater percentage of students will rate their Education excellent in 1973 than in 1972.
2. Ten percent more students will succeed at four-year colleges than did in our last study.
3. The budget request will be 100 percent free of mathematical errors.
4. Ninety-five percent of expenditure requests will have the correct budget account number.
5. No expenditure requests will be forwarded to the business office if they exceed budget allocations.

Time :

1. All budget requests will be in by February 1.
2. All equipment purchases will be processed in five working days.
3. All new faculty appointments will be made to the president by June 1.
4. The committee report will be made by November 1.

Cost :

1. The cost per student will be reduced to $1,375 per FTES.
2. The student personnel area will expend $138 per FTES.
3. The teacher/student ratio will be twenty-two to one.
4. Administrative costs will not exceed 7 percent of the operating budget.

Table 7.6

EXAMPLES OF OBJECTIVES

Poor: Develop a good in-service program.	*Better:* Develop an in-service program which will have six sessions and at least four outside consultants. I will obtain a rating of four on a five-point scale from participants.
Poor: Do a fine job of developing my division's budget.	*Better:* I will submit my division's budget by the deadline date given by the business office, without mathematical errors, on the correct forms, within the budget guidelines and with 97 percent accuracy in using budget codes.
Poor: Develop a good lecture series for the college.	*Better:* I will develop a lecture series for the total college community involving at least five lectures per semester on varied topics with an average attendance of 300 per lecture. The series content will be based on a survey of student interests.
Poor: Improve the student registration system.	*Better:* All regular students will be registered within a three-day period and no student will spend more than two hours in the process unless the student develops a schedule conflict.
Poor: A staffing study will be made of other college counseling centers.	*Better:* A study will be made of six community college counseling centers in colleges similar in size and service areas to ours. Counselor ratio, hours worked, counseling philosophy, classified staff support, and student utilization of services will be compared.
Poor: High morale will be maintained among the classified staff.	*Better:* Absenteeism will be less than 5 percent, staff turnover will be less than 5 percent, and 85 percent of the staff will rate the job conditions as good or excellent on a year-end survey.

Table 7.7

COMMON ERRORS IN SETTING OBJECTIVES

1. The administrator does not relate the individual objectives to the mission, goals and objectives of the college and his particular area.
2. Objectives are set too low and thus do not interest the individuals in pursuing them.
3. Objectives are written about unimportant matters.
4. Feedback from past experience is not used to shape new objectives.
5. Objectives are unrealistic and unattainable; they are written to impress the boss.
6. No discussion is held regarding *how* the objectives are to be achieved.
7. When objectives involve more than one person this point is not noted and the tasks are not coordinated.
8. Objectives focus on activities rather than quantified outputs.
9. Objectives are too wordy and full of "academic garbage" designed to impress.
10. Objectives do not fully take into account obstacles which must be overcome.
11. Objectives fail to include new or creative approaches to educational problems.

CHAPTER VIII

SUMMARY COMMENTS

VIII. SUMMARY COMMENTS

This publication has been written to explain and clarify the MBO concept and to give institutions in the AID Program help in understanding and using the concept.

Institutions that respond correctly to the AIDP monitoring and evaluation schedules must have part of an MBO model in place to produce the one- and five-year objectives (or quantifiable goals in OE terminology) for the total college, which then are linked into an MBO-like process for managing the specific AIDP activities. A college would do well to go a few extra steps and implement a college-wide MBO system to help it not only manage more effectively but also to satisfy OE requirements that each college have a PME system in place before the AIDP ends.

In this publication, we have discussed the definition of MBO, the advantages and disadvantages of it, how you implement it, MBO models, reasons why it often fails, setting institutional mission, goals and objectives, and setting institutional objectives. MBO has many shapes and forms and it can be modified to fit any college or university situation *if* the president and staff are willing to make the adjustments necessary for a management *system* to succeed.

Anyone wishing further knowledge on MBO should review the bibliography which follows.

CHAPTER IX

MANAGEMENT BY OBJECTIVES BIBLIOGRAPHY

IX. MANAGEMENT BY OBJECTIVES BIBLIOGRAPHY

A bibliography of books and articles on MBO and related topics in the education and business fields.

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